



**ALLIANCE FOR STRATEGIC GROWTH, INC./ EASTERN INDIANA
WORKFORCE DEVELOPMENT BOARD OF ECONOMIC GROWTH
REGION 6**

PROPOSAL FOR FISCAL PROVIDER SERVICES

REQUEST FOR PROPOSAL (RFP) FISCAL PROVIDER

October 1, 2016 – June 30, 2019

Purpose

The purpose of this solicitation is to secure Fiscal Provider services for the Alliance for Strategic Growth, Inc. and the Eastern Indiana Workforce Development Board of Economic Growth Region 6. The successful bidder will enter into negotiations for a 32-month contract with two optional one year extensions at the discretion of the workforce board.

The Alliance for Strategic Growth, Inc./Eastern Indiana Workforce Development Board is soliciting bids for a single entity to provide Fiscal Provider services for Region 6 East Indiana which consists of the following counties: Blackford, Delaware, Fayette, Henry, Jay, Randolph, Rush, Union, and Wayne.

Scope of Work

Region 6 is publishing this RFP to seek responses for a Fiscal Provider to provide financial services to Alliance for Strategic Growth and the Workforce Development Board for:

- Workforce Innovation and Opportunities Act funding for Adults, Dislocated Workers and Youth
- Other funds awarded to Region 6 including, but not limited to:
 - State and federal competitive and formula awards
 - Workforce awards and donations for special projects
 - Foundation grants for workforce and economic development initiatives

Questions regarding the contents of this RFP should be addressed Stephanie Swan at sswan@asgcorp.org

Other Fiscal Provider responsibilities include:

- The Fiscal Provider must provide financial services for the region identified in this RFP.
- The Fiscal Provider will establish procedures to ensure fiscal integrity.
- The Fiscal Provider will coordinate with the Alliance for Strategic Growth,

Workforce Development Board, and the Indiana Department of Workforce Development (DWD) on fiscal issues.

- The Fiscal Provider will assure compliance with applicable OMB Circulars/DWD & State Directives/ Workforce Development Board Directives/"boiler plate" language of signed agreements between the parties and, when deemed appropriate, confer with the State on issues concerning allowable costs and acceptable processes and procedures.
- The Fiscal Provider will establish acceptable Cost Allocation Plans (CAP).
- The Fiscal Provider will utilize acceptable accounting software that allows for accrual reporting of all costs within the timelines established and the allocation of overhead/indirect costs.
- The Fiscal Provider will be in full compliance with the State/ Alliance for Strategic Growth/Workforce Development Board cash management directives to include monthly bank reconciliations and maintaining minimum cash on hand.
- The Fiscal Provider will establish a procedure to record and report all stand-in costs, when required, all cash/in-kind match costs, as directed, and any required maintenance of effort.

Funding

The funding for these financial services will primarily come from the federal Workforce Innovation and Opportunities Act (WIOA) awarded to the Region. Alliance for Strategic Growth had an annual budget of approximately \$4,585,000 for the period of July 1, 2015 through June 30, 2016. While funding can fluctuate, it is anticipated that the current program year budget provides a reasonable guideline for expected funding levels. As a guideline, a maximum of 10% of the amount of funding is allowed for administrative costs.

Disclosure

Respondents to the RFP should note that the contents of their response to this RFP or other information submitted to the workforce development board are subject to public release upon request except those terms specifically exempted from disclosure. All such proprietary or confidential material should be clearly marked. It is the intent of the RFP to contract at the conclusion of this solicitation. At the discretion of Alliance for Strategic Growth, Inc., the solicitation of bids may be not result in the award of a contract for services.

Contract Negotiations

Successful respondents to this RFP will be expected to participate in contract negotiations to establish the exact services to be provided and the payment terms for those services. The workforce development board reserves the right costs and services will be negotiated based

on information contained in this RFP and in the proposal selected for contract negotiations.

Subcontracts

Bidders may subcontract for all or part of the services to be provided, but the intent to subcontract must clearly be stated in the response to this RFP. Any subcontracting not specifically identified in the proposal or in the contract must have workforce development board approval.

Proposal Format

Proposals must be prepared and sequenced in accordance with the instructions outlined in this section. When completed, proposals are to be assembled in the following manner.

- Proposal Cover Page (Attachment B)
- Table of Contents
- Organizational Section
 1. Organization Name
 2. Organization Address
 3. Organization Telephone Number(s)
 4. Contact Person
 5. Length of Time in Business
 6. Chief Executive Officer
 7. A Statement indicating the intent of the organization to provide services described in the RFP
 8. Legal Status of the Organization
 9. Mission of the Organization
 10. Tax Status of the Organization
- Applicant Background & Experience
 1. Describe the purpose of the organization
 2. Description of the management and structure of the organization
 3. A listing of similar services provided – names and contacts
 4. Brief resumes for key personnel that will provide services
 5. Copies of monitoring reports and audit reports of similar services for the past two years
- Plan of Service
 1. Detail the Plan for Providing Fiscal Provider Services
 2. Provide Details of On Site versus Off Site office

3. Describe how the Fiscal Provider will measure effectiveness tied to expenditures
4. Services Provided not Specifically Required in the RFP
 - Assurances and Certifications (Attachment C)
 - Budget – The costs will be evaluated using a dollar to dollar comparison (Attachment D)

Exhibits

2. Budget Narratives and Budget Detail pages
3. Bidder's Annual Report/Financial Statement
4. Resumes of the Key Staff to Provide Services
5. Organizational Charts
6. Recent Audits and Monitoring Reports from Similar Initiatives

Each section and exhibit must be clearly labeled.

Responses to this RFP must be typed on 8 ½" by 11" paper with no less than one inch margins. The proposals must be no longer than 16 pages in length.

After the cover page and the table of contents, number each page of the proposal at the bottom center of the page. The completed attachment B, C, and D from the RFP must be included with your proposal. The cover page, table of contents and the required attachments do not count as part of the maximum 16 pages.

Submittals must include an original and four (4) copies. The original must have original signatures.

Time of Contract

The period of the contract will be effective no later than October 1, 2016 through June 30, 2019. Two one-year extension may be granted at the discretion of Alliance for Strategic Growth, Inc.

Applications are due no later than September 2, 2016 at 4:00 p.m. Central Time. One proposal with original signatures is required with four copies. No faxed copies will be accepted. Proposals postmarked later than September 2, 2016 will not be accepted. Mail to:

Alliance for Strategic Growth, Inc.
Attention: Stephanie Swan
201 E Charles St. Suite 100

Muncie, IN 47302

Timeline:

Complete proposal must be received by close of business September 2nd, 2016.

The following is the key due dates for the RFP:

Proposal Timeline

Issue RFP	4:00 p.m.	August 4th, 2016
Submission of Questions	12:00 Noon	August 11th, 2016
Letter of Intent to Bid	4:00 p.m.	August 24th, 2016
Proposal Due Date	12:00 Noon	September 2nd, 2016
Potential Bidder Presentations (dates tentative)		September 13-14, 2016
Target Contract Start Date		October 1, 2016

Requirements for Fiscal Provider proposals, including review criteria follow:

Overview of Scoring

Financial Services Planning	30 points
Program Management & Organizational Capacity	30 points
Outcomes	20 points
Cost	<u>20 points</u>
Total	100 points

Rating Criteria

Financial Services Planning (30 points)

Fiscal Provision will be an instrumental component in the delivery of services within the Regional WorkOne system. Through this procurement process, the Alliance for Strategic Growth and the Region 6 Workforce Development Board anticipates identifying a Fiscal Provider to provide financial services for the region.

The applicant will:

- Describe the process for employing staff to include experience under varying training funded programs such as Workforce Innovation and Opportunities Act for the region or contracting for such services. Describe the plan for providing financial services, including key personnel providing these services.
- When applicable, describe the methods for assisting the Alliance for Strategic Growth and the Workforce Development Board to aggressively pursue repayment from the originating entity/organization for disallowed costs.
- Describe the plan for coordinating with the Alliance for Strategic Growth, Workforce Development Board, and DWD concerning the payments for delivery of workforce development services in the regions. Include how such coordination will occur to assure proper documentation accompanies each claim for payment (i.e., what is sent to the Fiscal Provider and what is to remain on file with the regional operator). Explain the process that will be used to resolve concerns over payment for costs questioned by the Fiscal Provider.
- Describe willingness to serve as Fiscal Provider for other funds that may become available to the Alliance for Strategic Growth/Workforce Development Board such as other state grants, federal grants, foundation grants or other grants and awards. Such description must contain a fee structure.

Scoring on this criterion will be based on the following:

- How the applicant will procure staff to provide the financial services.
- How the applicant will assist the Alliance for Strategic Growth, Workforce Development Board and the State in pursuing questioned costs which result in a demand of repayment for disallowed costs.
- How the applicant will coordinate with the Alliance for Strategic Growth, Workforce Development Board and DWD on fiscal issues.
- Fiscal experience in working with state and federal funded training programs.
- How the applicant will handle other funds, including the fee structure.
- The cost for the Fiscal Provider functions.

Program Management & Organizational Capacity (30 points)

Applicants must demonstrate the capacity and capability to be the region's Fiscal Provider. Region 6 is interested in learning the applicant's capacity to maintain financial integrity in workforce development programs and the applicant's financial management capability.

The applicant must:

- Describe credentials and certifications for personnel that will provide fiscal services.

- Describe the organization's ability, capacity and track record to financially administer workforce development services in the region. Identify the primary contact person with whom the Regional Operator will communicate. Provide the qualifications and resumes of the primary contact person and other key personnel providing financial services, including staff availability and specifically where services will be provided (on-site or off- site). It is anticipated that at a minimum, the primary contact or key staff will have an extensive background and experience in the successful fiscal management of training funded programs.
- Provide a copy of the most recent audit report done for the applicant's organization/entity reflecting fiscal integrity. Audit reports covering activity for the workforce development system are preferred, but not required.
- Provide a summary of the applicant's proposed cost allocation plan as the lead Fiscal Provider and the organization's implementation plan.
- Indicate the plan to develop internal controls that will be used by the applicant to maintain fiscal integrity as Fiscal Provider.
- Describe the plan to develop a financial reporting and cash management system. Also, describe communication, financial reporting and cash management capability from the Fiscal Provider to Alliance for Strategic Growth and the Workforce Development Board.

Scoring of this criterion will be based on the following:

- The applicant's ability and capacity to provide financial services for the region.
- The applicant's experience and track record with regard to financially administering workforce development services or providing financial services for similar programs.
- The most recent audit report reflecting the applicant's ability to administer workforce development services.
- Appropriate staff/organizational credentials and experience.

Outcomes (20 points)

The organization's success in administering workforce development programs can often be reflected through the outcomes achieved in the region. Alliance for Strategic Growth and the Workforce Development Board is interested in learning about the achievements of the applicant. Such achievements may have been measured through contract payment points, achieving benchmarks, meeting timelines or other methods.

The applicant will:

- Describe how the Fiscal Provider will measure success in providing financial services to the region.

- Describe how the Fiscal Provider will measure effectiveness tied to expenditures.
- Describe any additional planned outcomes that will demonstrate effectiveness and accountability. Include plans for accomplishing these outcomes.

Scoring of this criterion will be based on the following:

- The applicant's experience and ability in providing financial services for similar programs.
- Any planned additional outcomes to address effectiveness and accountability.

Cost (20 points)

Specify the annual cost for Fiscal Provider services using the cost worksheet included in this document as Attachment E.

Scoring on this criterion will be based on the following:

- Cost for financial services. Costs will be evaluated using a dollar to dollar comparison.

Attachment B

Proposal Cover Page

Alliance for Strategic Growth/East Central Indiana
Workforce Development Board Proposal for Fiscal
Provider Services

Date of Proposal _____

Proposing Organization Name: _____

Proposing Organization Address: _____

Federal ID Number: _____

Authorizing Organization Official Typed Name: _____

Signature: _____

Signature Date: _____

Contact Person

Name: _____

Address: _____

Telephone Number: _____

Cell Number: _____

Email: _____

Attachment C

Alliance for Strategic Growth/East Central Indiana Workforce Development Board Assurances and Certifications

The Respondent agrees to comply with all applicable State and Federal laws and regulations governing the Workforce Investment Act, Workforce Investment Boards, Regional Workforce Boards and any other applicable laws and regulations.

In addition, the Respondent assures, certifies and understands that:

1. The Respondent has not been debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs.
2. The Respondent possesses legal authority to offer the attached proposal.
3. The submission of this proposal has been fully authorized by the governing authority of the Respondent.
4. A drug free workplace will be maintained in accordance with the State of Indiana requirements.

Signature of Authorized Representative

Printed or Typed Name

Date

Attachment D

Budget Summary

Salaries & Benefits

Overhead

Rent

Utilities

Maintenance

Furniture & Equipment

Information Technology

Office Supplies

Other Administrative Costs (specify)

Total

NOTE: Attach a budget narrative describing costs and budget details for expenditures planned in the proposal.